



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/808,303	03/14/2001	Yoshihito Ishibashi	09792909-4859	3750
26263 7590 10/18/2007 SONNENSCHN NATH & ROSENTHAL LLP P.O. BOX 061080 WACKER DRIVE STATION, SEARS TOWER CHICAGO, IL 60606-1080			EXAMINER THEIN, MARIA TERESA T	
			ART UNIT 3627	PAPER NUMBER
			MAIL DATE 10/18/2007	DELIVERY MODE PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

**Office Action Summary**

Application No.

09/808,303

Applicant(s)

ISHIBASHI, YOSHIHITO

Examiner

Marissa Thein

Art Unit

3627

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 20 July 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-18 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-18 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on July 20, 2007 has been entered.

### ***Response to Amendment***

Applicant's "Request for Continued Examination" filed on July 20, 2007 has been considered.

Claims 1, 9, 17 and 18 are amended. Claims 80-83 are cancelled. Claims 1-18 remain pending in this application and an action on the merits follow.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

**Claims 1-18 are rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent No. 5,892,900 to Ginter.**

Regarding claims 1, Ginter discloses a content secondary distribution management system comprising: a plurality of user devices for managing secondary distribution in which a transaction of content usable by a user device is performed between the plurality of user devices (see at least Figure 77; col. 280, lines 59-65; col. 261, lines 10-48), wherein a first settlement log is issued from a first of the plurality of user devices to one of a service provider and a clearing center every time the content is distributed by the first user device (see at least col. 261, lines 10-34; col. 263, lines 5-10; col. 168, lines 26-27; col. 281, line 10- col. 282, line 5) and a second settlement log is issued from a second of the plurality of user devices to said to said first of the plurality of user devices and said of the plurality of user devices issues said second settlement log (see at least col. 142, lines 35- 40; col. 296, lines 19-38; col. 141, line 57-col. 142, line 40; Figure 79; col. 329, lines 11-45 ) one of a service provider and a clearing center every time the content is distributed by the second user device (see at least col. 261, lines 10-34; col. 263, lines 5-10; col. 168, lines 26-27; col. 327, lines 30-39; col. 281, line 10- col. 282, line 5), and a settlement processing for the content is performed based on the first settlement log and the second settlement log under the management of said one of a service provider and a clearing center (see at least Figure 77; col. 281, line 10- col. 282, line 5).

Regarding claim 2, Ginter discloses a content receiving user (end user) device for receiving the content deducts a content usage fee from an electronic money balance

Art Unit: 3627

up to an allowable amount of money set in an issue log based on information of usage control policy of the content, the content receiving user device creates a usage log; the content providing user device creates a receive log and sends the receive log to the service provider and a clearing center; and the service provider and the clearing center performs the settlement processing for the electronic money for the use of the content based on the receive log, and requests and account management institution to perform transfer processing for the content usage fee; and the account management institution performs the transfer processing (see at least Figure 25A; col. 42, line 59 – col. 43, line 20; col. 281, lines 33-44).

Regarding claims 3-8 and 10-16, Ginter discloses:

- the content to be distributed between the user devices is contained in a secure container which stores a content price and information of a usage control policy including profit distribution information (see at least col. 59, lines 36-61; col. 279, lines 13-20; col. 279, lines 42-49; col. 292, lines 15-27), and wherein the service provider and a clearing center constructs a form of the transfer processing according to a log containing a content fee payer and a content fee receiver based on the profit distribution information (see at least col. 59, lines 36-61; col. 279, lines 21-31; col. 279, lines 42-49; col. 292, lines 15-27);
- the usage control policy information includes indicating whether the secondary distribution of the content between the user devices is allowed, and wherein upon receiving the receive log created for a content in which the secondary distribution is not allowed, the service provider and the clearing center nullifies settlement

Art Unit: 3627

processing to be performed for the receive log (see at least col. 279, lines 21-31; col. 281, lines 23-41);

- each user devices for performing the transaction of the content comprises an encryption processing unit, mutual authentication processing, and the user devices attach a digital signature and verify the digital signature (see at least col. 21, line 60 – col. 22, line 25; col. 257, lines 33-36);
- the user devices, service provider, and clearing center comprises an encryption processing unit, mutual authentication processing, attach a digital signature and verify the digital signature (see at least col. 21, line 60 – col. 22, line 25; col. 257, lines 33-36);
- the clearing center comprises a user balance database for managing an electronic money balance of the content and creates an issue log in which an allowable amount of money is set up to electronic money balance (see at least col. 36, lines 10-43; col. 40, lines 3-61; col. 280, lines 22-26); and
- usage control policy information includes profit distribution information of the content usage fee, and where usage log and receive log include the profit distribution information, the service provider and clearing center performs the settlement processing for the content usage fee based on profit distribution information also sends the transfer request to the account management institution (see at least col. 36, lines 10-43; col. 40, lines 3-61).

Regarding claims 9 and 17, Ginter discloses a method and a computer-readable medium having stored therein computer-executable instructions for managing

Art Unit: 3627

secondary distribution in which a transaction of content usable a user device is performed between a plurality for user devices (see at least Figure 77; col. 280, lines 59-65; col. 261, lines 10-48), comprising: issuing a settlement log for the use of the content from a content providing user device to said first of the plurality of user devices and said of the plurality of user devices issues said second settlement log (see at least col. 142, lines 35- 40; col. 296, lines 19-28; col. 141, line 57-col. 142, line 40; Figure 79; col. 329, lines 11-45 ); issuing said second settlement log for the use of the content from said first of the plurality of user devices to said service provider and a clearing center every time an identical content is distributed (see at least col. 261, lines 10-34; col. 263, lines 5-10; col. 168, lines 26-27; col. 281, line 10- col. 282, line 5; Figure 79; col. 379, lines 11-45); and performing settlement processing for the identical content based on the settlement log under the management of the service provider and a clearing center (see at least Figure 77; col. 281, line 10- col. 282, line 5).

Regarding claim 18, Ginter discloses a computer-readable medium further performing the step of; performing settlement processing for the content based on the first settlement log and the second settlement log (see at least Figure 77; col. 281, line 10- col. 282, line 5).

### ***Response to Arguments***

Applicant's arguments filed July 20, 2007 have been fully considered but they are not persuasive.

Applicant remarks that "Ginter does not disclose or suggest that a second settlement log is issued from a second of the plurality of user device to the first of the plurality of user device and the first of the plurality of user device issues the second settlement log to the one of a service provider and a clearing center".

The Examiner does not agree. Ginter discloses information may pass through a single chain of handling such as encrypted packets of audit information (col. 296, lines 19-26). The audit information contains administrative objects, which comprises events describing financial transactions between the creator of an administrative object, the recipient, such as a purchase order or an invoice (col. 142, lines 10-15; col. 142, lines 35-40). The administrative objects can be sent from end users to distributors, and/or clearinghouses (col. 142, lines 35-40). Furthermore, Ginter discloses user A which establishes an account with distributor A. User A receives content usage control information from distributor A to access the creator's A content. Creator A establishes a meter method that will generate an audit record if a user accesses creator's A content. Distributor A uses such a meter method in a control method associated with opening the creator's content that invokes one or more billing and and/or budget methods created, modified or referenced in one or more permissions records and/or parameterized by distributor A to reflect a change for monthly usage. Ginter further discloses that if distributor A has specified usage and/or redistribution control information within the boundaries permitted by the creator, a new set of control information may be associated with the creator's content when control information associated with distributor A are delivered to users and/or user/distributors. (Col. 329, lines 11-45)



Such may pass through a single chain of handling such as encrypted packets of audit information; audit information contains administrative objects, which comprises events describing financial transactions between the creator of an administrative object, the recipient, such as a purchase order or an invoice; administrative objects can be sent from end users to distributors, and/or clearinghouses; user A which establishes an account with distributor A (first user); and user A receives content usage control information from distributor A to access the creator's A content are considered "a second settlement log is issued from a second of the plurality of user device to the first of the plurality of user device and the first of the plurality of user device issues the second settlement log to the one of a service provider and a clearing center".

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Marissa Thein whose telephone number is 571-272-6764. The examiner can normally be reached on M-F 8:00-5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ryan Zeender can be reached on 571-272-6790. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3627

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Mtot  
October 14, 2007

*Michael Cuff* 10/15/07  
**MICHAEL CUFF**  
**PRIMARY EXAMINER**